

STATE OF IOWA AFFIRMATIVE ACTION/DIVERSITY PLAN AND REPORT

Diversity Plan's Relationship to Affirmative Action

Each department will submit by July 31st an Affirmative Action/Diversity Plan to DAS, who will receive it on behalf of the Diversity Council. This document is to report on your activities and accomplishments for FY 2008, and report on your intended activities for FY 2009.

For the purposes of this document, the term protected classes refers specifically to females, minorities, and persons with disabilities. Protected classes may be subject to numerical goal setting in employment. The term diversity includes the protected classes, but also includes broader differences, such as age, sexual orientation, and religion. These differences are not subject to numerical goal setting in employment, but may be protected by non-discrimination statutes and policies. Please refer to Executive Order Four and the State's EEO/AA Policy for more details.

Diversity Plan Content and Design

(The following AA/Diversity Plan and Report format is required; however additional material may be submitted or referenced.)

I. Hiring and Promotion Practices

You submitted a baseline of your current hiring and promotional practices to DAS in February 2008. DAS will be contacting you to address questions and seek clarification of your submission. You will not need to submit any additional information until these meetings take place over the next several weeks.

AGENCY ACTION: If you have made any changes to your hiring practices during FY 2008 since your February submission, please submit these changes as part of your FY 2008 AA/Diversity plan results. In addition, if you plan any changes in FY 2009 those may also be submitted.

II. Recruitment and Retention Plan

AGENCY ACTION: Please fill in the text boxes in the template to describe any activities or initiatives you took in FY 2008 to address recruitment issues in your agency and your plans for FY 2009.

Recruitment and Retention Plan Intent

Recruitment and Retention of a skilled, productive, and motivated workforce is critical to establishing and maintaining a culture of excellence. Department plans will reflect specific departmental skill and workforce makeup needs to reveal opportunities for attention and improvement. These plans are intended to document your efforts in creating a culture of excellence.

Recruitment Plan

The purpose of the department's recruitment plan will be to position state government at all levels for success in finding, acquiring, retaining and promoting quality talent.

The primary components of the recruitment portion of the template include:

- Organizational Strategies
- Analysis of Factors Affecting Recruitment
- Sourcing Activities and Tools
- Other Recruitment Management Methods
- Milestones and Time Tables

Organizational Strategy

Improving diversity will help us advance our long term strategic objectives and business goals in the following manner:

IDOB's efforts to grow a more diverse work force will enhance our ability to serve a citizenry that is changing in composition. Different perspectives add richness to our ability to communicate, problem solve and regulate equitably according to the intent and spirit of our mission.

The overall organizational strategy for recruitment in my department for FY 2008 and changes for 2009 will include the following:

FY 2008 Career Fairs, Internal and External Advertisement and Assistance from the State Recruitment and Retention Coordinator.

FY 2009 Career Fairs, Internal and External Advertisement and Assistance from the State Recruitment and Retention Coordinator.

Describe how managerial staff is assigned or otherwise allocated to the recruitment function. Please list what levels of management are involved in the recruitment function:

FY 2008 Each level of management is involved in recruitment. Lower level examiners, mid-range examiners and senior management are all present at different events throughout the year.

FY 2009 We don't foresee any changes to our staff assignments relating to recruitment efforts.

The name and contact information of a primary recruitment contact for usage by DAS is:

Kay Anderson

Analysis of Factors Affecting Recruitment

Based on known or projected staffing needs for FY 2009, please provide an estimate of the number of vacancies you plan to fill in FY 2009. (Note: this is for general information only and not intended to replace the affirmative action analysis and goal setting for FY 2009):

4

Of the total number of positions to be filled, the following job classes have been identified as difficult to fill based on previous experience:

2

Of the total number of positions to be filled, the following job classes have been identified as high turnover:

N/A

Of the difficult to fill and high turnover job classes, list recruitment barriers experienced by job class:

Examiner and Field Auditor positions can be difficult to fill due to excessive travel, limited personal mileage reimbursement, and remote geographic locations for field examiners domicile options.

Of the difficult to fill and high turnover job classes, those which are typically underutilized for protected classes (females, minorities, or persons with disabilities) are:

All

List the barriers that have been identified in recruitment of the protected classes:

Regulation and Government oversight is not typically thought of as a female and/or minority career goal. While some career goals of women and other protected classes have changed over time, we do not see this impacting us in the near future.

The following methods and activities are planned to deal with recruitment barriers in FY 2009:

Outside of actively pursuing female/minority and other protective classes via job fairs and engaging newly hired State staff to search for qualified candidates, there are not any apparent activities we can use to deal with barriers.

Sourcing Activities and Tools

In FY 2008 we attended the following career fairs, networking events, and community events:

University of Iowa; University of Northern Iowa; Iowa State University Career Fairs; One employee spoke at a Middle School about over-all Bank Regulation. We also had three members of Senior Management make presentations at various peer group meetings.

In FY 2009, we plan to attend the following career fairs, networking events, and community events:

Same as above.

Besides the DAS BrassRing applicant tracking system, we use (or plan to use in FY 2009) the following sourcing tools:

Tool	FY 2008	Budget Est.	FY 2009	Budget Est.
Internet Job Postings			X	0
Resume Search Products				
Standard News Print			X	\$500
Specialty Trade Journals			X	\$200
Radio				
TV				
Open House				
Search Firms				
Temporary Staffing				

Other (please list):

Current employee referrals.

Identify which of these sourcing tools; either individually or in combination, are most effective in your experience:

Current employees and standard news print.

Other Recruitment Management Methods

In FY 2008, we recruited passive candidates in the following manner (passive candidates are those not actively seeking employment):

Word of mouth, former employees, current employees.

Does your agency use interns? If so, please describe your process for recruiting, such as posting to your website or DAS, hiring as temporary, use of Americorps, etc.:

No

Please indicate whether you utilize temporary employment services to provide potential candidates for permanent hire, and if so the process you follow:

No

Describe how you handle, track, or otherwise process unsolicited resumes. Indicate if/how you share these within your agency or with other agencies:

Applicants are entered into an internal database with basic information. A response is sent to indicate whether we currently have vacancies. Written applications and resumes are maintained on file for five years.

Milestones and Timetables

Summarize your FY 2008 recruitment milestones and identify opportunities for improvement:

The new recruits for 2008 included two seasoned examiners that filled an immediate need to address an increased need for our Finance Bureau. Two bank examiners were added as a result of internal referral and college recruitment. One addition to our Professional Licensing team was a seasoned female from the private sector.

For FY 2009, provide a timetable for those activities you plan to implement:

Our regulatory mission charges us to balance our staffing against the current industry trends. Our current staffing will be adequate barring unforeseen events that could deteriorate public confidence in our regulated institutions.

Retention Plan

The purpose of the department's retention plan is to retain and promote diverse and qualified talent.

The primary components of the retention portion of the template include:

- Analysis of Factors Affecting Retention in three areas – FY 2008
 - Turnover
 - Promotions
 - Employee Engagement
- Plans to Improve – FY 2009
- Self assessment

Analysis of Factors Affecting Retention – FY 2008

The following sections are intended to obtain your analysis of the following factors affecting your workforce.

Turnover

From a retention perspective, the following job classes present the greatest challenge:

Field Auditors

List the issues you have identified that contribute to the turnover in these classes:

Excessive travel, insufficient salary, and mileage reimbursement rates.

Check the methods you use to identify turnover factors (check all that apply):

☒ Exit interviews

Describe how these are conducted:

Both face-to-face upon exit with a written portion regarding issues surrounding terminations.

☒ Workforce surveys (employee engagement, satisfaction)

Describe how these are conducted:

There is a climate survey facilitated by DAS-PDS each year.

☐ Management team meetings/exercises

Describe how these are conducted:

☐ *Other methods (please describe):*

Promotions

Identify some of the most critical competencies you perceive to be most lacking in your organization. This may include any particular knowledge, ability, or skill, or personal trait:

As our workforce ages and looks to retirement, it will be difficult to replace the level of expertise we currently enjoy. It will also be difficult for younger people to understand the history (both good and bad) of industry cycles and outside factors that affect regulatory issues.

Which of these same competencies are most likely to affect a decision in your organization to open a vacancy to the general public rather than as a promotional opportunity:

IDOB is structured to facilitate a career path that grows people to assume more responsibility. We do this via a strong training program and as a result, it is difficult for an outside recruit to rival the knowledge and preparation of an internal candidate.

Identify barriers to promotional opportunities for internal employees, such as lack of education, infrequency of suitable vacancies, geographic location, etc. :

Infrequency of vacancies.

Indicate if and how these barriers differ for protected class employees (females, minorities, persons with disabilities):

In recent years the ratio of males/females has improved considerably. For example, three women have been promoted to senior level positions previously held by men. Due to our historical challenge of finding minority candidates who are willing to reside in rural Iowa, we have had no member of this protected class to promote. We are not currently aware of any acknowledged disabilities that require accommodation in our ranks.

Employee Engagement

Describe any activities or methods (such as surveys or interviews) your department uses to measure the engagement of your employees with your organization:

There is a climate survey facilitated by DAS-PDS each year and the results are shared with the staff at an annual training meeting.

Identify what topics you address:

- ☒ *Understanding of the organization's vision and mission*
- ☒ *Managerial approachability and style*
- ☒ *Job satisfaction*
- ☒ *Cultural inclusion*
- ☒ *Flow of and access to information*
- ☒ *Career progression awareness*
- ☒ *Work/life balance*
- ☒ *Other – Pay issues*

Employees would rate the department's effectiveness in communicating the support, programs and promotional opportunities available to them as:

- ☒ *Good* ☐ *Needing Improvement* ☐ *Unknown*

Describe the employee communication methods used to make employees aware of the support, programs, and promotional opportunities available to them:

Written, oral and electronic

Describe any changes you plan to make around employee engagement in FY 2009:

None

Plans to Improve – FY 2009

Check all programs you will implement in FY 2009 and describe how you see the program improving retention in your workforce for FY2009:

- ☒ *Orientation and On-boarding:*

IDOB has a long standing orientation program for new hires which includes a mentoring program.

- ☒ *Training and educational opportunities to support business needs and employee competencies to enhance promotional potential:*

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Training and cross training of employees, written position manuals and mentoring of younger examiners in the field.

☐ *Workplace accessibility (visual, physical):*

Historically, this has not been an issue.

☒ *Mentoring:*

Please see response above.

☒ *Awards and Recognition:*

Annual Statewide Meeting provides a forum for staff recognition.

III. Diversity Training

AGENCY ACTION: Please provide information about diversity related training provided in FY 2008. This will be used to report FY 2008 training activities for the FY 2008 affirmative action plan year.

Provided by DAS for Senior Management as first step to new State program.

Provide information about diversity-related training planned for FY 2009 in the text box.

We will implement monthly training provided to Senior Management (included with training listed above) at our regularly scheduled staff meetings.

Note: Mandatory diversity training will be provided to both management and employees in FY 2009. However, include in your plan and report any other training you are planning or have done.

IV. Workforce Composition and Hiring Opportunities

AGENCY ACTION: The goal setting data to address underutilization of protected class members in underutilized job categories will be sent to you for action separately in late July as mentioned earlier in this document. This data won't be available until after the end of the fiscal year. Therefore you will not need to submit your hiring goals with this document.

We will continue to address numerical underutilization through the normal quantitative affirmative action process as you have done in the past:

- DAS will provide your agency with your department's workforce composition, average turnover, and underutilization by job class.
- Your agency will review this data and establish hiring goals for FY 2009.
- Hiring lists issued by DAS will continue to identify protected class members if the job class is underutilized. How this list is handled should be addressed in your hiring practices and procedures (Item I., above).
- DAS will calculate your year end FY 2008 protected class hiring progress.
- Your hiring progress in FY 2008 and hiring goals for FY 2009 will be incorporated into the AA/Diversity Plan Annual Report to the IGOV and Legislature, due by September 30, 2008.

You also receive periodic hiring opportunity reports that remind you of the vacancies that are currently in process for your department

As a general measure of diversity in state government, a current workforce composition report (April 17, 2008) comparing your department to the executive branch overall is provided. Please use this as needed.

V. Efforts of the Agency to Encourage and Celebrate Diversity

AGENCY ACTION: Please fill in the following text boxes for each question. This will constitute your plan for FY 2009 to encourage and celebrate diversity. Also report any FY 2008 activities.

Describe how the success of your diversity efforts advances your department's long-term strategic objectives and business goals.

IDOB has a long held belief that a more diverse workforce is beneficial to our mission as we try to be of service to all of the citizens of Iowa. If our organization mirrors the public we serve, our ability to communicate effectively and regulate fairly are enhanced. Diversity brings a new perspective and new ideas to problem solving.

Describe how your managers and supervisors will be involved in diversity.

They will be involved in the recruitment, hiring, ongoing training and mentoring.

Executive Order 4 establishes the goal to be inclusive of employees with differences in age, race, creed, color, sex, sexual orientation, gender identity, national origin, religion, and disability. Describe the methods and activities you plan to initiate in FY 2009 to broaden inclusiveness for all these groups.

One focus will be at our Statewide Annual Meeting where we will have an opportunity to bring all of our employees together and share ideas, goals and how best IDOB can address its mission. This is an ongoing challenge for any organization. Diverse backgrounds will hopefully bring a richness to these conversations. The fall 2008 meeting agenda will include information on Executive Order #4 and forthcoming activities.